

**U.S. SECURITIES AND EXCHANGE COMMISSION  
PUBLIC NOTICE OF VACANCY  
NUMBER: ESHA-001**

**Opens: June 27, 2003**

**Closes: September 30, 2003**

**Staff Accountant, SK-510-09/11/12/13**

**GRADES/SALARIES:** (\$49,069 to \$122,965\*)

**Promotion Potential:** SK-14

\*Salaries vary by locality/grade, for specific information on salary offerings for each locality/grade level, please see salary offering section for more details

**This is a bargaining unit position.**

**VACANCIES:** Multiple- Nationwide  
Open-Until Filled

**APPOINTMENT/SCHEDULE:** Career-Conditional  
Full time

(This is a public notice with multiple cut offs. In order to be considered for a specific cut off period, your application must be received by the last day of the cut off period. First cut off: 7/11/03, Second cut off: 7/25/03, Third cut off: 8/8/03, Fourth cut off: 8/22/03, Fifth cut off: 9/5/03, Sixth cut off: 9/19/03, Seventh cut off & Closing Date 9/30/03)

**(Branches of IC/IA Examinations or Broker-Dealer for these offices)**

**LOCATIONS:** Office of Compliance Inspections & Examinations, Washington, DC  
Atlanta District Office, Atlanta, GA  
Boston District Office, Boston, MA  
Central Regional Office, Denver, CO  
Fort Worth District Office, Ft. Worth, TX  
Midwest Regional Office, Chicago, IL  
Northeast Regional Office, New York, NY  
Pacific Regional Office, Los Angeles, CA  
Philadelphia District Office, Philadelphia, PA  
Salt-Lake District Office, Salt Lake City, UT  
San Francisco, District Office, San Francisco, CA  
Southeast Regional Office, Miami, FL

**TRAVEL:** 6 to 10 nights per month

**U.S. Citizenship is Required**

**Moving Expenses will not be paid**

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**WHAT WORK WILL YOU PERFORM**

***A Staff Accountant, you will,***

- Conduct compliance examinations of investment companies, investment advisers, broker-dealers and/or transfer agents.
- Conduct research regarding compliance and accounting issues found during examinations.
- Assist with the preparation of materials for litigation and testimony regarding investment companies, investment advisers, broker-dealers and/or transfer agents who are subjects of enforcement proceedings.
- Conduct a wide variety of assignments and processes related to the examination of registrants and liaison activities.
- Recognize when changes are appropriate for examination methodology in response to industry needs.

**More information available on next page**

## SALARY OFFERINGS SECTION

Candidates **MUST** indicate specific location and submit a **separate** application for **each** location in order to receive consideration.

For specific salaries and grade levels, please see the following table

LOCATION(S):	SK-9	SK-11	SK-12	SK-13
Atlanta, GA	\$49,147-\$58,541	\$59,470-\$76,190	\$71,275-\$91,319	\$84,756-\$108,591
Boston, MA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Chicago, IL	\$54,518-\$64,939	\$65,969-\$84,517	\$79,064-\$101,299	\$94,018-\$120,458
Denver, CO	\$51,941-\$61,869	\$62,850-\$80,521	\$75,326-\$96,510	\$89,573-\$114,763
Ft. Worth, TX	\$49,947-\$59,494	\$60,437-\$77,430	\$72,435-\$92,805	\$86,134-\$110,357
Los Angeles, CA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Miami, FL	\$51,017-\$60,769	\$61,733-\$79,089	\$73,987-\$94,794	\$87,980-\$112,722
New York, NY	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Philadelphia, PA	\$52,667-\$62,734	\$63,729-\$81,646	\$76,379-\$97,858	\$90,825-\$116,367
Salt Lake City, UT	\$49,069-\$58,448	\$59,375-\$76,069	\$71,162-\$91,174	\$84,621-\$108,418
San Francisco, CA	\$55,653-\$66,291	\$67,342-\$86,276	\$80,710-\$103,407	\$95,975-\$122,965
Washington, DC	\$51,996-\$61,935	\$62,917-\$80,606	\$75,406-\$96,612	\$89,668-\$114,885

**BENEFITS:** SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account.

### **What Are The Qualification Requirements**

***Candidates must meet the Basic Requirements and Specialized Experience below.***

#### **Basic Requirements**

1. Degree in accounting, business administration, finance, or public administration that included 24 semester hours in accounting and/or auditing subjects, 6 semester hours of which can be in business law; OR
2. Four or more years of accounting/auditing experience; OR
3. Equivalent combination of accounting experience and college-level education.

If you meet #2 or #3 above, you also must have:

- a) 24 semester hours in accounting/auditing courses; **or**
- b) Certified Public Accountant or Certified Internal Auditor license obtained through a written examination; or
- c) completion of a degree with at least 15 semester hours in accounting/auditing, provided that the candidate has successfully worked at the full performance level in accounting, auditing, or a related field; or have certification from at least two higher level professional accountants or auditors that the candidate's accounting experience equals the knowledge associated with a 4-year accounting/auditing degree.

#### **Mandatory Selective Factor For SK-11/12/13 Only:**

The mandatory selective factor is essential to perform the duties of this position. Please include a narrative that clearly addresses how you meet this mandatory selective factor. If your application does not clearly show you meet the mandatory selective factor, you will **not** receive further consideration for the position.

**More information available on next page**

1. Experience in the examination of the full range of investment advisers, investment companies, broker-dealer and/or transfer agents and knowledge of generally accepted accounting principles and auditing standards to recognize material reporting issues in financial statement disclosures.

### **Specialized Experience**

**At least one full year of specialized experience** at a level of difficulty equivalent to the next lower grade (GS/SK-7 for the SK-9 position, GS/SK-9 for the SK-11 position, GS/SK-11 for the SK-12 position, and GS/SK-12 for the SK-13 position) in the Federal service or private sector. Specialized experience is work in which candidates performed accounting or auditing work involving (1) the examination of books, records, financial reports, and financial operations of registrants which included various types of investment company, investment adviser or other closely related securities entities; (2) experience in preparation of written reports of findings, including worksheets, schedules, exhibits and narratives; and (3) application of statutes, rules, regulations, and policies relating to the preparation of submission of securities-related financial statements administered under federal securities laws and the SEC; (4) and utilizing knowledge of GAAP, GAAS. This experience may have been obtained in a public accounting firm, publicly-held company, or federal, state, or local government requiring an in-depth knowledge of generally accepted accounting principles, generally accepted auditing standards, federal securities laws, and their application to the preparation or submission of securities-related financial statements.

### **Substitution of Education:**

**For the SK-9 position:** Two full years of progressively higher-level graduate education or a master's degree in accounting, business administration or finance or higher level graduate education leading to a LL.B or J.D. if directly related to the position being filled.

**For the SK-11 position:** Three full years of progressively higher-level graduate education or Ph.D. or equivalent doctoral degree, if directly related to the position being filled.

**For the SK-12 and above position:** None.

Candidates MUST submit proof of college/university degree (college transcript) at time of application. Official transcripts must be received by the time of interview. The above specialized experience requires a thorough knowledge of accounting, auditing, examining or investigating principles, techniques and practices involved in the review and evaluation of procedures, practices, and records involved in the securities markets; and writing reports and recommendations.

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### **ICTAP ELIGIBLES**

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

**.For SK-9:**

- Experience which demonstrates ability to analyze and interpret federal securities laws, rules and regulations in relation with the principles, techniques and practices of the securities industry and markets.

**More information available on next page**

**For SK-11/12/13:**

- Experience in examination of the full range of Investment Advisor/Investment Companies, broker dealers and transfer agents.

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### **HOW TO APPLY**

Candidates **MUST** submit:

- A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the attached SEC Employment Guide. If you are a Federal employee please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
- Background Survey Questionnaire (optional).
- Veterans should provide a copy of a DD-214 verifying honorable military service.
- Where appropriate, transcript (proof of degree with appropriate courses) must be provided by time of interview.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

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### **FILING APPLICATIONS**

Applications must be received in the U.S. Securities and Exchange Commission, Office of Administrative and Personnel Management, 6432 General Green Way, Alexandria, VA 22312, no later than the public notice cut off dates specified above. For consideration, applicants must meet qualifications on or before date of cut off specified during time of application.

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### **WHERE TO SEND APPLICATIONS**

*U.S. Securities and Exchange Commission  
6432 General Green Way, Mail Stop 0-1-A  
Alexandria, VA 22312  
Attention: Troy Jackson  
Email applications to: [APPLY@SEC.GOV](mailto:APPLY@SEC.GOV)  
FAX: 703-914-4230*

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**FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: [www.sec.gov/jobs.shtml](http://www.sec.gov/jobs.shtml)**

***Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.***

### **EQUAL EMPLOYMENT OPPORTUNITY**

***Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.***

***SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodations will be on a case-by-case basis.***

**ESHA JOB POSTING  
EMPLOYMENT GUIDE**  
U.S. Securities and Exchange Commission  
Office of Administrative and Personnel Management (Mail Stop 0-1)  
6432 General Green Way  
Alexandria, VA 22312

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

<b>JOB APPLICATION</b>	<ul style="list-style-type: none"> <li>• Apply by submitting a <i>résumé</i> or <i>Optional Application for Federal Employment</i> (OF-612).</li> <li>• Place in the top right corner of <u>each</u> page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.</li> <li>• If the job is being advertised at more than one geographic location, a <u>separate</u> application is required for <u>each</u> location.</li> <li>• Provide your social security number, name, address, home and office phone numbers.</li> </ul>
<b>LEGAL REQUIREMENTS</b>	<ul style="list-style-type: none"> <li>• United States citizenship is required. You must state in your application that you are a U.S. citizen.</li> </ul>
	<ul style="list-style-type: none"> <li>• Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.</li> </ul>
<b>EDUCATION &amp; TRAINING</b>	<ul style="list-style-type: none"> <li>• List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).</li> <li>• You must <b><u>submit a copy of or the official college transcript</u></b> if the job announcement requires it.</li> </ul>
<b>EXPERIENCE</b>	<ul style="list-style-type: none"> <li>• List the job title of your position; name and address of employer; and, supervisor's name and telephone number. <u>You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u></li> <li>• Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.</li> <li>• <b>Indicate whether we may contact your present and previous employers.</b></li> <li>• If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.</li> </ul>
<b>MANDATORY SELECTIVE FACTOR</b>	<ul style="list-style-type: none"> <li>• If a mandatory selective factor is present in the job announcement, candidates <u>must</u> meet it in order to be given consideration for the position.</li> </ul>
<b>EVALUATION PROCEDURES</b>	<ul style="list-style-type: none"> <li>• A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.</li> </ul>
<b>SPECIAL SELECTION PRIORITY</b>	<ul style="list-style-type: none"> <li>• This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).</li> <li>• To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which</li> </ul>

**FILING A JOB  
APPLICATION**

**WHERE TO  
SEND YOUR  
APPLICATION**

you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be well-qualified as a displaced Federal employee for the SEC position.

- If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.

You may:

1. Mail your application (or applications if applying for more than one geographic location) through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement.
2. E-mail or fax your application (or applications if applying for more than one geographic location) to the e-mail address or phone number listed on the announcement. Applications must be received by the closing date specified on the announcement.

U.S. Securities and Exchange Commission  
Office of Administrative and Personnel Management (Mail Stop 0-1)  
Attention: Troy Jackson  
6432 General Green Way  
Alexandria, VA 22312

Fax Number: 703-914-4230

E-mail: [APPLY@SEC.GOV](mailto:APPLY@SEC.GOV)



## PERSONAL INFORMATION SHEET

**Instructions:** Providing this information is voluntary. If you decide not to complete and return this form with your application, it will not affect your consideration or selection for Federal employment. The information will be used to assess recruitment activities and will be maintained in a manner so individuals may not be identified by name.

Announcement Number:	Position Title:
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Last Name	First Name	MI
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<b>Social Security</b>  Number: _____	United States citizen (circle applicable answer): <u>Yes</u> or <u>No</u>	If not a U.S. citizen, what is your country of citizenship: _____
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*Review the categories in A, B, and C and please circle or check the answer that best describes you.*

<b>A.</b>	Male	Female				
<b>B.</b>	1. American Indian or Alaskan Native	2. Asian or Pacific Islander	3. Black	4. White	5. Hispanic	
<b>C.</b>	05 - I do not have a disability  06 - I have a disability, however it is not listed  16 - Deaf	23 - Blind (one or both eyes)  64 - Partial paralysis  71 - Complete paralysis	82 - Convulsive disorder  90 - Mental retardation  91 - Mental or emotional illness  92 - Distortion of limbs and/or spine			

*How did you learn about the position (i.e., Washington Post newspaper, radio, OPM website-USAJOBS, Internet, SEC hotline, etc.?)* \_\_\_\_\_